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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number **10/828,269**Filing Date **April 21, 2004**First Named Inventor **DEGRAAF, Jim**Art Unit **3692**Examiner Name **MERCHANT, Shahid R.**Attorney Docket Number **11483-174**

Total Number of Pages in This Submission

**ENCLOSURES (Check all that apply)**☐ Fee Transmittal Form☐ Fee Attached☐ Amendment/Reply☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☐ Information Disclosure Statement☐ Certified Copy of Priority Document(s)☐ Reply to Missing Parts/  
Incomplete Application☐ Reply to Missing Parts  
under 37 CFR 1.52 or 1.53☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert to a☐ Provisional Application☐ Power of Attorney, Revocation☐ Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) \_\_\_\_\_☐ Landscape Table on CD

Remarks

☐ After Allowance Communication to TC☐ Appeal Communication to Board  
of Appeals and Interferences☐ Appeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s) (please identify  
below): Remarks  
Issue Fee letter; and  
Issue Fee Transmittal form.**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm Name **Bereskin & Parr**Signature Printed name **Kendrick Lo**Date **May 27, 2008**

Reg. No.

**54,948****CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

Typed or printed name

Date

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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# Bereskin & Parr

INTELLECTUAL PROPERTY LAW

May 27, 2008

Kendrick Lo B.A.Sc. (Eng. Sci.), MBA, LL.B.  
416 957 1685 klo@bereskinparr.com

Your Reference: 10/828,269  
Our Reference: 11483-174

## Issue Fee

The Commissioner of Patents  
and Trademarks  
Washington, D.C.  
U.S.A 20231

Dear Sir:

**Re: United States Patent Application No. 10/828,269**  
**For: RISK MANAGEMENT SYSTEM AND METHOD PROVIDING**  
**RULE-BASED EVOLUTION OF A PORTFOLIO OF INSTRUMENTS**  
**Filed: April 21, 2004**  
**Applicants: DEGRAAF, Jim**

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This correspondence is responsive to the Notice of Allowance and Issue Fee Due dated May 6, 2008, in the above-identified patent application. As required, we enclose herewith the Issue Fee transmittal forms.

Please note that the named Assignee currently of record (recorded at Reel 017946 and Frame 0273) has been identified in the attached Issue Fee Transmittal form, however the address of said Assignee has changed. The current address of the Assignee is reflected in the attached Issue Fee Transmittal form.

Please charge the government fee of \$1,740.00 to our deposit account no. 02-2095. Please also charge any deficiency or credit any overpayment to this account.

Respectfully submitted,



Kendrick Lo  
Registration No. 54,948  
/sc  
Encl.